DOCUMENT RESUME

ED 366 091 EA 025 595

AUTHOR Wendel, Frederick C., Ed.
TITLE Enhancing the Knowledge Base in Educational Administration. UCEA Monograph Series.
INSTITUTION University Council for Educational Administration.
REPORT NO ISBN-1-55996-147-3; ISSN-1041-3502
PUB DATE 91
NOTE 70p.
AVAILABLE FROM University Council for Educational Administration, 212 Rackley Bldg., Pennsylvania State University, University Park, PA 16802-3200.
PUB TYPE Collected Works - General (020)

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Administrator Education; *Administrator Effectiveness; *Case Records; Educational Administration; Elementary Secondary Education; Higher Education; *Knowledge Level; *Leadership Training; *Principals; Public Schools

ABSTRACT

Effective administrator preparation programs and professional practices are important to enhancing principals' knowledge base. In chapter 1 of this report, "Strategies of Organizing Principal Preparation: A Survey of the Danforth Principal Preparation Program," Gerald C. Ubben and Frances C. Fowler discuss their survey of facilitators of the Danforth Foundation's program. The survey found that environmental constraints and resistance to change inhibited administrative power sharing. In chapter 2, "Preparing Principals to Supervise and Lead Change in Schools," Lance V. Wright presents a program to better prepare first-time principals for supervisory tasks and change. In chapter 3, "Preparing for Action: The Integration of Knowledge for Educational Leadership," Gordon A. Donaldson, Jr. and Russell J. Quaglia describe a novel initiative in the University of Maine's educational administration program to develop a laboratory training experience for school-site leaders. In chapter 4, "Case Records: A Means to Enhance the Knowledge Base in Educational Administration," Karen F. Osterman states that the use of case records in educational administration can increase understanding of administrative practices and help link theory with action. In chapter 5, "Early Childhood Reform and the Knowledge Base of Educational Administration," Colleen A. Capper evaluates seven areas of emphasis in the core curriculum for improving school administrator preparation. (Contains 66 references.) (JPT)

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ENHANCING THE KNOWLEDGE BASE IN EDUCATIONAL ADMINISTRATION

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UNIVERSITY COUNCIL FOR EDUCATIONAL ADMINISTRATION

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ENHANCING THE KNOWLEDGE BASE IN EDUCATIONAL ADMINISTRATION

UCEA MONOGRAPH SERIES

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The University Council for Educational Administration
212 Rackley Building
The Pennsylvania State University
University Park, PA 16802-3200

ISSN: 1041-3505-2
ISBN: 1-55996-147-3

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INTRODUCTION

The papers in this edition of the UCEA Monograph Series were first delivered at the annual convention of the University Council for Educational Administration in October 1989. The annual convention of UCEA has served as an open forum for the exchange of research and viewpoints regarding university administrator preparation programs. In addition to the presentation of papers and discussions of conference attendees, a number of papers are reviewed and selected for publication in the Monograph Series.

Gary Ubben and Frances Fowler summarized *Strategies for Organizing Principal Preparation: A Survey of the Danforth Principal Preparation Program*. Their points regarding the problems of environmental constraints and resistance to power sharing should provoke thought.

Preparing Principals to Supervise and Lead Changes in Schools by Lance Wright focuses upon several stages that could be employed to provide more extensive and comprehensive preparation.

Gordon Donaldson and Russ Quaglia in *Preparing for Action: The Integration of Knowledge for Educational Leadership* have described the development and implementation of an experiential course in administration that is competency-centered. Through the use of a case study that replicates a school setting, students are enabled to put theory into practice in the laboratory course.

In *Case Records: A Means to Enhance the Knowledge Base in Educational Administration?* Karen Osterman analyzed data on file at the Silver Center for Reflective Principals and proposes how materials of this kind can be used to create new knowledge-in-action.

The relationship of *Early Childhood Reform and the Knowledge Base of Educational Administration* was explored by Colleen Capper. She draws conclusions specific to the seven areas of emphasis in the core curriculum for improving the preparation of school administrators of the National Policy Board for Educational Administration.

Special thanks are due faculty members of the University of Nebraska-Lincoln for serving through several rounds as reviewers of manuscripts: Ron Joekel, John Prasch, Ruth Randall, and Don Uerling. Their diligent efforts have identified diverse topics that should evoke stimulating reading and discussion among readers of the UCEA Monograph Series.

Frederick C. Wendel
Lincoln, Nebraska

Chapter 1

Strategies for Organizing Principal Preparation: A Survey of the Danforth Principal Preparation Programs

Gerald C. Ubben
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Frances C. Fowler
Miami University

Introduction

In its earliest days, leaders of the current school reform movement concentrated on the reform of the teaching profession. Career ladders were established, teacher preparation programs were tightened up, and credentialing tests were developed. Soon, however, reformers expanded their concern to include administrators–especially principals who, according to the school effectiveness literature, play a key role in children's learning. As part of this concern, a number of leading thinkers and organizations began to call for changes in administrator preparation programs. For example, in 1987 the National Commission on Excellence in Administration published its report, *Leaders for America's Schools*. The report recommended many changes in administrator preparation programs, including the following:

1. "The public schools should share responsibility with universities and professional organizations for the preparation of administrators" (National Commission on Excellence in Educational Administration [NCEEA], 1987, p. 10).
2. "The public schools should have programs to recruit quality admin istrators from among their teachers" (NCEEA, p. 10).
3. "Practicing administrators have an obligation to analyze their work and contribute actively to the development of its clinical knowledge base" (NCEEA, 1987, p. 20).

4. "Administrative preparation programs should be like those in profes sional schools which emphasize theoretical and clinical knowledge, applied research, and supervised practice" (NCEEA, 1987, p. 20).

Recommendation 7.2 of the report was: "Foundations should support research and development programs focused on the clinical phases of preparation." (NCEEA, 1987, p.34). Therefore, not surprisingly, the Danforth Foundation one of the financial supporters of the Commission, is funding a series of innovative principal preparation programs across the country.

The Danforth Program for the Preparation of Principals

In the fall of 1986, the Danforth Foundation initiated its Program for the Preparation of Principals (*The Danforth Foundation*, n.d.). In its original request for proposals, the foundation stipulated that proposed projects should include four elements. First, participating universities and school districts would have to share the responsibility for recruiting students for the project. The curriculum content would also have to be jointly developed. Third, participating students would be required to complete a full-time internship, lasting at least ten weeks. Finally, the school districts were supposed to make a commitment to place project graduates in administrative positions (Greer, 1988).

Four universities were selected to participate during the first year, or Cycle I. These were Cleveland State University, Georgia State University, The Ohio State University, and the University of Alabama. However, Cleveland State was unable to implement its program because of a conflict over a union contract. Cycle I programs began operating in 1987. Cycle II involved five universities: the University of Houston, Indiana University, University of Massachusetts at Amherst, University of Oklahoma, and the University of Washington. Their programs started functioning in 1988. Cycle III universities began to operate their projects in 1989. This cycle includes Brigham Young University, East Tennessee State University, San Diego State University, University of Tennessee, City College of New York, and the University of Virginia. As of the fall of 1989, most Cycle IV programs were still in the planning stages. Their project implementations are planned for the 1990-91 academic year. The sponsoring institutions are the University of Connecticut, University of New Mexico, Virginia Tech, and Western Kentucky University. Danforth Foundation staff have met regularly with project facilitators from each cycle to support their efforts "to think and act boldly in developing alternative programs for the preparation of principals in collaboration with practicing administrators in schools" (*The Danforth Foundation*, n.d., p. 2).

Purpose of this Study

The purpose of this study was two-fold. First of all, it was designed to provide *descriptive data* about all of the Danforth Principal Preparation Programs. These descriptive data, in turn, provide a foundation for attempting to answer some broader questions: What really happens when institutions try to break with the standard approach to administrator preparation? Where do they encounter resistance within a university, the local districts, and the community? How do they deal with resistance? Under what circumstances is it possible successfully to break with the standard model of administrator preparation?

Methods and Procedures

The facilitators and assistant facilitator of Leadership 21, the Danforth Principal Preparation Program at the University of Tennessee, developed a questionnaire about the programs. It combined 17 closed and 29 open-ended questions about six characteristics typical of most Danforth Principal Preparation Programs: interns, mentors, advisory committee, local involvement, program planning, and program.

Questionnaires were sent to the facilitators of all current and past projects, with the exception of the Cleveland State University program, which was never implemented, a total of 18 potential respondents. Thirteen facilitators returned their questionnaires; three more were interviewed on the telephone about their projects, using the questionnaire as the interview protocol. One Cycle IV facilitator communicated by letter the fact that his program planning had not progressed far enough for him to respond to the questionnaire. One Cycle I facilitator did not respond and could not be reached by telephone. The response rate was, therefore, 89%.

The questionnaires were analyzed in three ways. First, the answers to the questions were summarized in a grid format, with the institutions grouped by cycle. This format facilitates the comparison of the programs. The data reveal the nature of the programs which have been developed in response to the Danforth Foundation's Request for Proposals. They suggest both the basic similarity of the programs and the range of difference which they exhibit. In the next section of this written narrative, the major findings about the structure of the programs are summarized.

Second, the programs were compared to see what extent they deviate from the standard principal preparation model. In order to execute this comparison, the researchers developed a set of ten non-standard characteristics which are typical of many of the Danforth Programs. These characteristics are as follows:

1. Joint university-district selection of interns.
2. Cohort experience for interns.
3. Mentors for interns.
4. Advisory Committee for program.
5. Empowerment of Advisory Committee to make decisions.
6. Collaborative planning by faculty.
7. Collaborative planning by faculty and practitioners.
8. Full-time internship of at least 720 hours.
9. Significant departures from regular course format.
10. Internship partially outside of educational institutions.

Using this list, the 16 programs were accorded scores; one point was allocated for the presence of each of the above traits. Thus, the possible range of scores was zero to 10. The programs were then grouped in several ways, mean scores were calculated, and a series of comparisons was made. The programs were compared across both cycles and geographic regions. In addition, the programs were compared on the basis of the presence or absence of three characteristics; joint internship selection, an empowered Advisory Committee, and the length of the internship. These findings are given and discussed in the section of the paper entitled *Cross-Comparisons*.

Finally, the questionnaires and interview notes were scanned for comments about problems relating to resistance to the program either in the university, the district, or the community. These comments are summarized and briefly discussed in the section of the paper entitled *Reported Constraints*.

Brief Project Descriptions

The following paragraphs provide brief descriptions of the most salient features of the 16 Danforth Principal Preparation Programs for which data were available.

The first series of questions related to the interns and their internships. All 16 programs include internships; and 10 of these last at least 720 hours, or the equivalent of 40 hours a week for 18 weeks. In seven cases the internships are completed partially outside of educational settings-in a private business, for example, or in a hospital. Fifteen of the programs incorporate elements designed to insure a "cohort" experience for the interns. In 11 cases the interns are jointly selected by the university and the school district; in five, however, the district makes the selection unilaterally.

All 16 programs provide a mentor or mentors for their interns. The mentors are selected in a variety of ways, ranging from a few programs in which the intern chooses his or her mentor to a few in which the superintendent appoints a mentor. In 13 of the projects the mentors receive some form

of training, and in most they receive some sort of symbolic reward for their service, such as a plaque or recognition dinner. In only three, however, do they receive financial compensation.

Fifteen of the projects have an advisory or steering committee. In size, these committees range from 8 to 25 members. Three meet monthly, six meet quarterly, and the other seven meet fewer than four times a year. Of the 15 committees, nine seem to be empowered to make real decisions about their project.

The Danforth Principal Preparation Programs involve close cooperation with local school districts. The number of districts which actually had interns in a given program varied widely: from two to 26. The average number of districts involved in a program was 8.07. This figure is, however, misleading; 14 programs reported usable data for this question, and of them 10 were working with seven districts or fewer.

The Danforth Programs are supposed to be jointly planned by faculty and practitioners, and such planning implies that the faculty will have to work collaboratively. However, only 11 programs reported collaborative faculty planning and 10 had participated in joint faculty-practitioner planning.

The programs themselves bear a strong family resemblance to each other. As mentioned above, all include internships and mentors. The programs range in length from one to two years, with the norm about 14 or 15 months. Most of the facilitators reported significant departures from standard course format. For example, three mentioned "experiential learning," three reported "individualization," two were using modules, and two were trying to incorporate "reflective practice" into their curriculum. Finally, the students were able to earn some sort of exit credential in most cases; 13 projects offered a professional license or certificate, and 11 offered a degree to those who successfully completed the program.

Cross-Comparisons

As explained earlier, the researchers identified 10 non-standard characteristics and scored each of the 16 programs. The average score was 7.06, suggesting that on the whole the programs incorporate numerous departures from the standard format. However, the range was considerable. One program includes only two non-standard elements, while two incorporate nine of them and seven include eight. This suggests that, although the Danforth programs have, by and large, departed from standard practice in some ways, in a few cases, making major changes was extremely difficult.

Cross-comparisons of the projects revealed some interesting differences. Although Cycles II, III and IV had fairly high mean scores (7.60, 7.80, and 7.00 respectively), Cycle I averaged only 3.50. Since only two Cycle I programs responded, these data must be interpreted cautiously. However, special problems

may have been encountered in the first year of the program. A regional comparison revealed that while projects in the South, Northeast, and West tended to include numerous non-standard components (means of 7.60, 8.00, and 7.00 respectively); those located in the Midwest averaged only 5.00.

Three comparisons were made by using program components as discriminating factors. Projects with empowered advisory committees were somewhat more non-standard than the others. The former averaged a score of 7.67, whereas the mean score of the latter was only 6.29. (Remember, as a non-standard scored item a 1.00 difference is automatic: *i.e.*, the *real* difference between 6.29 and 7.67 in this case is only 0.48). Similarly, programs in which the interns are jointly selected by the university and the local district scored higher (7.63) than did programs whose interns are selected by the local districts (5.80). Finally, districts with internships of at least 720 days had a higher mean score (7.70) than did districts with shorter internships (6.00). Thus, although these data must be interpreted carefully, there does seem to be a slight positive relationship between a project's ability to implement one non-standard practice and its ability to implement other.

Reported Constraints

The questionnaire did not specifically ask respondents to comment on problems, constraints, or resistance. Yet, the open-ended questions did provoke such comments in several instances.

The most frequently mentioned problem was the fact that many smaller districts seem to be financially unable to support interns even though their leaders are interested in the project. Another constraint which was often mentioned in relationship to the local districts was their unwillingness to make a commitment to place interns in administrative positions after they finished the program. One respondent indicated that a union contract was the source of the problem; the other did not specify the nature of the difficulty.

Three respondents commented on problems at the university level. In one case, the faculty was so resistant to changes in a program perceived as "already excellent" that implementation of the project was seriously hampered. Another program facilitator reported that, although directing the project took enormous amounts of time, the reward structure of the university was not designed to encourage professors to devote their energy to such efforts. Finally, another facilitator indicated that the fact that his department included a large number of adjunct professors made collaborative planning impossible.

Conclusion

This study provides a descriptive data base for the innovative principal preparation programs currently sponsored by the Danforth Foundation.

However, it also raises an interesting and important, question: Why have some of the projects been willing and able to develop programs which include numerous non-standard elements, while others have not?

A partial answer to this question is implied in the data. Those who would implement innovative principal preparation programs can expect to encounter certain types of problems. Some of these problems relate to environmental constraints;local districts may not be financially able to support internships, or they may be required to honor existing union contracts. Probably long established district norms for advancement into administrative positions play a role as well. At the university level, existing structures may discourage faculty from investing heavily in a new program. Two of the questionnaires also hinted at the desirability of having a cooperative state education agency; others as well undoubtedly play a role in determining to what extent project leaders can make real changes in a preparation program.

Moreover, in some cases, real resistance seems to arise. This can occur at the university level, where faculty members may feel threatened by a program which changes tried and true ways of doing things. Professors may also resist sharing their power to determine course content with practitioners in the field. Resistance apparently can occur in the local districts also; undoubtedly, superintendents and school boards cannot readily surrender exclusive power and entry into administrative positions. Even in an innovative program whose guidelines call for the joint selection of potential administrators, some districts will resist sharing such power. Almost certainly, other resistances exist as well.

This study suggests, then, the importance of investigating the problems of environmental constraints and resistance to power sharing in the reform of principal preparation programs. A better understanding of these constraints and resistances might suggest ways that they can be successfully handled---increasing the likelihood that meaningful changes can be brought about in the future.

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Chapter 2

Preparing Principals to Supervise and Lead Change in Schools

Lance V. Wright
University of Colorado-Denver

Introduction

Several aspects of the developing professional identity of first-time high school principals were examined by a team of researchers in a field study known as The Beginning Principal Study (Hall and Parkay,1988). The team consisted of researchers from the University of Florida, the University of Colorado at Denver, and the University of Northern Colorado. The intent of the study was to develop a picture of the work life of first-time high school principals so that more thoughtfully designed preparation and support systems could be developed for future first-time principals. This paper addresses two questions based on the study's findings: a) Under what conditions can we better prepare principals to deal with supervisory tasks? b) Under what conditions can we better prepare principals to deal with change in schools? A four-stage program is suggested which includes professional school preparation, guided post-preparation experiences, guided induction experiences, and post-induction leadership. The professional school preparation program emphasizes close linkages between academic and clinical training in the areas of supervision for school improvement and leadership for change.

Conclusions of the Beginning Principal Study and Implications for Preparation Programs

In one aspect of the Beginning Principal Study's investigation, "A Study of Supervisory Priorities of First-Time High School Principals" (Wright, 1988), each of twelve principals was repeatedly asked five questions in bi-

monthly interviews during the academic year: a) What critical events are occurring? b) How are you spending your time? c) To whom did you turn for support, and whom did you support? d) What decisions have you made? e) What joys, successes, and frustrations are you experiencing? The analysis of responses revealed the supervisory priorities of these twelve principals and points to several conclusions with implications for preparing principals for supervision.

The twelve cases revealed principals with a wide rang of awareness, knowledge, and skill regarding the tasks of supervision. Only a few of these principals talked frequently or explicitly about visiting classrooms, collecting data, and conferring with teachers. One principal, in particular, established a pattern of classroom visitation, conferring with teachers, and conducting small group study sessions to review the literature on good teaching. Many principals mentioned that classroom visitations were important but that they simply did not have time to conduct them. Most others rarely if ever mentioned classroom visitations or other "high supervisory" tasks such as curriculum development or formal evaluation. For the majority of subjects, there was a striking contrast between what they said they ought to do and the supervisory tasks they actually performed.

The case studies data suggest that a principal's understanding of supervision and supervisory task priority, are influenced by conceptual understanding, personal perspectives (values and beliefs), and sense of efficacy in task performance. Therefore, preparation programs must invest considerable time and effort in guiding future principals a) to understand various conceptual frameworks for supervision, b) to shape their personal perspectives, and c) to gain executive control over the technical and interpersonal skills necessary for effective supervision.

"A Study of the Change Efforts Among First-Time High School Principals" (Roberts & Wright, 1988) analyzed data collected from a national survey of first-time high school principals in fifteen states. Change is defined as any significant alteration in the status quo, an alteration which is intended to benefit the people involved (Havelock, 1973). Gross (1971) defined planned change as deliberate efforts to improve the operations of a system. Such changes may result in alterations in programs or organizational arrangements. They may target innovations to upgrade student performance or to cope with shortcomings in the organization (Herriott & Gross, 1979). The survey asked two change-related questions: a) What changes did they make at the beginning of the year? b) What changes did they make as the year progressed? The findings from this survey were crossed with responses related to vision, difficult challenges, and plans for the next school year, and in addition to case study findings, led to important conclusions with implications for preparing principals to effect change.

Effecting change in schools is a challenging task which demands patience and understanding of the change process. Schools are complex organizations which require careful systematic assessment and close communication with teachers and others in order to facilitate change.

Most of the study's subjects focused on getting on top of first–one crisis, then the next, or changing isolated elements of the school such as revising the student handbook, altering the discipline policy, or boosting staff morale. There was little or no mention of the larger dimensions of their schools such as vision or mission. One principal who demonstrated understanding and skill in planning schoolwide change held a number of faculty meetings to identify areas of needed change. He then convened a two-day retreat to develop action plans in staff morale, school climate, and student achievement. Another stated her vision was "to finish this first year with a clear organizational teamwork frame that puts children and the children's education first." When attempts at change were combined with the myriad routine management tasks they faced, many principals expressed frustration and confusion about how to get on top of it all. They were not confident in their ability to integrate and carry out these numerous tasks with a high level of certainty and proficiency.

These conclusions imply that preparation programs must devote considerable time and effort in helping future principals a) build a knowledge base about the complexity of schools as organizations, b) understand the dynamics of effecting change in schools, c) bridge the gap between knowledge and understanding, and executive control over the leadership skills necessary to bring about change, and d) help principals gain control over routine management tasks and manage change efforts at the same time.

The Importance of Clinical Training

Clinical training (clinical education) is defined as the coordinated teaching and learning of skills which are based on an established philosophy of pedagogy, predetermined learning theory, and correlated with an assessment of job-related requirements (Peper,1987). Clinical training should be used as the means for enabling the student to bridge the gap between knowledge and understanding (acquired through formal study), personal perspectives (values and beliefs formed through formal study, observation, and career experience), and executive control (over specified technical and interpersonal skills). The first two stages of the preparation program should emphasize the dual importance of academic and clinical training, and should minimize neither side of training. Such training must be characterized by tight linkages between academic learning and application to simulated or real school situations, immersion in extended periods of work in schools, and coordinated supervision by highly skilled practitioners and university

faculty. University faculty and practitioners must guide students to discuss relationships between theories and concepts and their experiences and observations in schools. Peper suggests five levels of clinical development: awareness and exploration, on-sight observations, demonstration laboratories, the structured internship, and consultation in the art of practice.

Professional Preparation

A four-stage professional preparation program of several years duration is recommended to prepare principals for leadership in supervision and change.

A. Program Assumptions
   1. Principals must be prepared to work in school settings which are characterized as complex and demanding.
   2. The central purpose of the preparation program is the socialization of principals.
   3. Socialization requires a five to eight year period of staged preparation, including induction.
   4. Preparing principals is a massive and complex undertaking.
   5. Four stages of preparation---professional school, post-preparation, formal induction, and post induction---are vitally important to the effective development of principals

B. Stage 1– The Professional School Program (Pre-Licensure)
   1. Supervision for School Improvement
      a. Academic Strand
         (1) concepts and theory (supervision)
         (2) personal perspectives
         (3) technical skills
         (4) interpersonal skills
      b. Clinical Strand
         (1) laboratory experiences
         (2) field experiences
   2. Leadership for Change
      a. Academic Strand
         (1) concepts and theory (organization, change, leadership)
         (2) personal perspectives
         (3) technical skills
         (4) interpersonal skills
      b. Clinical Strand
         (1) laboratory experiences
         (2) field experiences

C. Stage 2–Post-School Preparation (Post-Licensure, Waiting in the Wings)
   1. Extended Academic Development
      a. Intensive Seminars on Selected Problems and Issues-tied to district and school committee leadership experiences
   2. Advanced Clinical Experiences in Supervision and Change
      a. district and school committee leadership experiences

D. Stage 3-Induction (Freshman/Sophomore Principals)
   1. On-the-Job Performance
      a. Guided Leadership (District with University Consultation)
      b. Mentored Leadership (District and Principals' Centers)
   2. Other Professional Growth Experiencesa. Principals' Centers, Academies, and Institutes
      a. Principals' Centers, Academies, and Institutes
      b. Professional Associations
      c. Advanced University Studies

E. Stage 4-Post-Induction Experiences (Principal Leader/Protege-Turned-Mentor)
   1. On-the-Job Performance
      a. Guided Leadership (District, with University Consultation)
      b. Mentoring New Inductees (District and Principals' Centers)
      c. Other Collegial Leadership
   2. Other Professional Growth Experiences
      a. Principals' Centers, academies, and Institutes
      b. Professional Associations
      c. Advanced University Studies

The need to improve conditions under which we better prepare principals to deal with supervisory tasks and change is driven by a critical need for a new breed of principal. The new breed of principal must have the capacity to work with teachers and a variety of others in transforming schools from the unworkable institutions portrayed in the reform literature to effective centers of learning for students and adults. Effective centers of learning demand principals who have had the opportunity for a more thoughtfully developed, extensive and comprehensive preparation.

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PRE-PRACTITIONER PRESERVICE
3-4 YEARS
STAGE I: PREPARATION
(PROFESSIONAL SCHOOL PROGRAM)

SUPERVISION FOR SCHOOL IMPROVEMENT

Academic	Clinical
Theory and Concepts	Lab and Field Experiences
Personal Perspectives	
Technical Skills	
Interpersonal Skills	

CHANGE IN SCHOOLS

Academic	Clinical
Theory and Concepts	Lab and Field Experiences
Personal Perspectives	
Technical Skills	

PRE-PRACTITIONER PRESERVICE
1-2 YEARS
STAGE II: POST-PREPARATION
(POST LICENSURE/WAITING -IN0THE-WINGS)

SUPERVISION FOR SCHOOL IMPROVEMENT

Extended Academic	Advanced Clinical
Intensive Seminar on Selected Problems and Issues	School and District Projects/ Committee Leadership
	Curriculum Development
	Inservice Training
	Clinical Supervision
	Other Instructional Support

CHANGE IN SCHOOLS

Extended Academic	Advanced Clinical
Intensive Seminar on Selected Problems and Issues	School and District Projects/ Committee Leadership
	Restructuring
	School-Based Management
	Process Consultation

PRACTITIONER INSERVICE
2 YEARS
STAGE 3: INDUCTION
(FRESHMAN/SOPHOMORE PRINCIPALS)

SUPERVISION AND CHANGE

On-the-Job Performance	Other ProfessionalGrowthExperiences
Guided Leadership (District, with University Consultation)	Principals' Centers
Mentored Leadership(District and Principals' Centers)	Professional Associatons
	Advanced University Studies

STAGE 4: POST INDUCTION
(PRINCIPAL LEADER/PROTEGE-TURNED MENTOR)

SUPERVISION AND CHANGE

On-the-Job Performance	Other Professional Growth Experiences
Guided Leadership (District, with University Consultation)	Principals' Centers
Mentoring New Inductees (District and Principals' Centers)	Professional Associations
Other Collegial Leadership	Advanced University Studies

Chapter 3

Preparing For Action: The Integration of Knowledge for Educational Leadership

Gordon A. Donaldson, Jr.
and
Russell J. Quaglia
University of Maine

Among the beneficial spinoffs of the school reform movement is the mounting attention to understanding and improving school leadership. Not only have professional development and certification of administrators been upgraded in many states, but preservice education has drawn its share of criticism. Considerable energies have been turned to the task of reforming graduate preparation programs for principals, superintendents, and a growing number of leadership roles. The University Council for Educational Administration(Griffiths, Stout, and Forsyth, 1988) and the National Policy Board for Educational Administration (1989) have spearheaded this effort. This article reports a novel initiative at the University of Maine to develop a laboratory training experience for school site leaders.

The University of Maine's educational administration program is small (four full-time faculty) and serves much of the rural sector of the state. Historically, it has offered a menu of technical courses designed to meet initial state certification standards for the principalship and the superintendency. In 1988, the faculty began a review of its coursework sequence as it simultaneously began experimenting with a new form of course. Central to these developments was the conviction that the preparation of school leaders needed to extend beyond "coverage of content" and simply engaging students in cognitive learning. This conviction led the faculty to reconsider the entire knowledge base for school leadership; much as the National Policy Board and the National Alliance for Developing School Leaders (NASSP, 1990) have advocated.

The Maine faculty's research into the nature of this knowledge base led them to a six-part framework. It presumes that knowledge comes in a variety of forms and in different mixes of cognition, intuition, and emotion (the latter being a very important but much misunderstood component of leadership deriving from the interactive nature of school administration). This six-strand framework now shapes the coursework and curricular planning of students and faculty alike at the University of Maine. These forms of knowledge are presented to students as follows:

Forms of Leadership Knowledge

1. Ethical/Philosophical: A value system and a structure of ideas that permits you to develop goals, objectives, and working principles consistent with that value system.
2. Pedagogical: Knowledge of the processes, styles, and technical skills of teaching; knowledge of learning and the learner; knowledge necessary to evaluate both teaching and learning.
3. Organizational: Alternative models for understanding how organizations work; skills necessary to "read" your organization and to act within it in a productive way.
4. Technical: Knowledge of specific strategies for administering programs, personnel, and policies (law, finance, management of building, curricular and strategic planning, scheduling, etc.).
5. Interpersonal: Knowledge of people and the processes they need to be involved in so they feel invested in the school and district; ability to "read" the relationships and roles that exist among staff, faculty, community, students, and others and to act appropriately for the productive development of the group, school, and community.
6. Intrapersonal: Knowledge of yourself, the level of your skills in all the other forms of knowledge, and the extent to which your given personality influences your leadership of others; ability to deploy your skills and qualities for the benefit of your school or district.

A second premise of Maine's current work is that the education of a successful school leader requires the integration of these forms of knowledge into a useful body. This "professional expertise" is greater than the sum of the facts, skills, values, and competencies one might acquire in a graduate program. It is characterized by the student's active integration of these with his or her experiences as educator, learner, and leader to produce ready strategies for thinking and acting as a school leader. This integrating of forms of knowledge into professional expertise respects the student's stature as an adult learner (Cross, 1981) and the nature of professional knowledge (Schön, 1983).

Laboratory Course Design

Four principles guided the course design (the rationale for these is discussed in the next section). First, students are placed in a "real school district" context and asked to assimilate considerable information about it in order to make decisions congruent with forces at large in the district. Second, students are organized in teams to handle jointly a series of "episodes" in the life of the district that unfold over the life of the course. Third, individuals are required to role play a variety of simulated characters, some administrators and some not, who populate these unfolding episodes. Fourth, frequent opportunity is provided for students to give and receive feedback, to reflect on strategies planned and actions taken, and to design and reformulate new administrative actions for the next step in the episode.

A team of three faculty has led the course, once as a threesome, once as a pair, and four times alone. In each case, the enrollment was between 10 and 16. The course has been offered in the summer—meeting in half day or all day sessions over a standard three-week period. It was also offered over a sixteen week span—meeting in three or four sessions or all day on Saturday.

At the outset of the course, participants are introduced to a simulated schol district (Maine School Administrative District #100). They receive thick notebooks detailing the district's history, geography, political and socio-economic character, personnel roster, negotiated contract, and budgets. They also receive documents describing the history and personnel of the "new" Cashwell Middle School, student and faculty handbooks from it, "last year's" student achievement scores, data from a recent school climate survey there, and other information. The district and the middle school have been simulated to recreate conditions typical of districts in Maine in the late 1980's and early 1990's (e.g., intertown disagreements played out on the SAD#100 board; Cashwell is a "junior high in transition to being a middle school" and has pockets of resistant faculty). Students are expected to "learn" the context thoroughly at the outset of the course, and to act within its real limits throughout the simulation.

Students are then broken into two or three teams of five to six people. Each team receives an "introduction" to an episode in the district's life describing a problem, the positions of prominent individuals regarding the problem, and other information (some of it extraneous). The episode begins and is propelled forward by a series of "events" created by the instructors that call on various administrators to act. Most often, the simulation has centered upon the Cashwell Middle School principal and vice principal; but the superintendent has had a large role as well. Each team prepares a strategy, with materials to support it, for the principal to follow as he/she "enters" the event in a role play. Members of other teams play the characters

with whom the principal must interact (superintendent, board members, teachers, other principals, parents and students). Each team plays through its strategy in front of the others and all students get to be administrators, other players, or observers in practically every session. Each episode moves forward (and sometimes backward) according to the manner in which its various meetings are handled by the principal. Each new event is created to a degree by the instructors to match the resolution of the event that precedes it.

One episode lasts four or five class sessions. To date, these have focused on four different sorts of administrative problems:

1. The school board demands that the Cashwell principal explain the poor performance of the school on the recent state achievement tests (raising issues of goal clarity, equity, teacher supervision, curicular integrity, and test interpretation.)
2. The principal must develop a plan for "teacher involvement" in the professional development of teachers (in which the principal grapples with teacher empowerment, shared decision-making, faculty morale, and union-management relationships).
3. The assistant principal deals with several student athletes and their impending ineligibility for basketball tournaments (engaging him/her in a series of teacher-parent-student triangles, debates between "achievement" and "self-esteem" goals, fair treatment vs. adherence to policy, and a number of other sticky issues).
4. The principal confronts a tenured teacher concerning a series of unfavorable observed behaviors (raising difficult interpersonal communication and relationship issues and involving him/her in legal, staff development, moral, and documentation questions).

In their approach to the events of each episode, students formulate a plan by reviewing research, the school's environment, interpersonal and political factors that have arisen in previous meetings, and relevant theories of organizational behavior and administration. The latter are provided in readings from the instructors that the entire group discusses before or after a series of role plays.

In the analysis of these events and the actions of the administrators, the important opportunity to integrate lessons about leaderhsip occurs. Each role play is (a) witnessed by everyone, (b) formally observed by some students using structured formats, and (c) videotaped. Through group discussion and individual written assignments such as journal entries, everyone uses these "data" to analyze the decisions and actions of each simulated principal. Because each role play occurs more than once (each team has a chance as administrator), the group always can compare at least

two approaches to a given situation, reminding everyone of the idiosyncratic nature of administrative work.

Engaging Students in Analysis and Synthesis

We believe that administrators will maximize the integration of professional knowledge with action if given the chance to *repeatedly follow a learning cycle that links problem analysis to planning to action to reflection.* Considerable evidence supports this belief (Cross, 1981; Schon, 1983; Cooper, 1988). The work of Paula Silver (Silver Center, 1989) and Sarah Levine (1989) explains the rationale for such a process and depicts it in use in field settings. In our laboratory course, we seek not only to teach our students about the cycle but to enable each of them to use it so that it might become a permanent part of their work as administrators.

We further seek to inculcate in students a three dimensional framework for understanding their work as school administrators. The framework posits that *every administrative leadership event has a substantive dimension, an interpersonal dimension, and an intrapersonal dimension.* In considering and taking action, school leaders constantly mix their knowledge of educational issues (substantive) with their knowledge of the people they must work with (interpersonal) with their knowledge about themselves (intrapersonal). We are most familiar with the first two dimensions, as they approximate common models of leadership (such as Hersey and Blanchard's "task vs. relationship" design). In the addition of the intrapersonal dimension, students discover a means to integrate their knowledge of workplace factors with their knowledge of themselves in order to plan actions effectively (Jentz, 1982; Cooper, 1988). In brief, we discuss with our students the three dimensions and advocate that, in considering action, taking action, and reflection on action, all three must be employed.

The three dimensional framework is applied to each stage of the learning cycle. For example, in the first episode students are asked by the "superintendent" to develop a report for the school board on recent achievement scores and to include a "plan to improve them next year." As they begin to grapple with substantive matters dealing with reading and understanding a printout of their school's scores, we simultaneously force students to ponder the interpersonal issues and options. These are, in the world of practice, inseparable from administrators' consideration of solutions to the substantive problem, "What will improve our students' performance?" Hence, they must sort their substantive options according to how likely it is that each will "play well" with the individuals involved (board, superintendent, faculty) and with the principal's options for interpersonal tactics and strategies. Finally, the leader's mulling of alternative program and interpersonal strategies boils

down to a final question, "Can I pull it off?" Here, in the intrapersonal dimension, we ask students to assess what personal skills, knowledge, and temperament a leader might need to execute successfully the substantive and interpersonal strategies their group is considering. Then, as one student prepares to take action, the question becomes more personalized for him or her: "Do I have these skills, this knowledge, this temperament?"

The answers come from the simulation or "action phase." We videotape the role play and employ a variety of observation instruments that students who are not involved in the role play can use. By structuring these to focus on the three dimensions, data are collected simultaneously on all three. The data collected in the action phase then become the focus of the reflection phase. Here, the whole group, each team, and each individual are asked to use these data as well as their own recollections to assess the effects of the simulated activity. Once again, we stress the importance of examining all three dimensions (and we often find that students dwell heavily on the interpersonal, to the exclusion of the other two). That is, we seek to have students evaluate how substantive knowledge about the issues at hand was used in, for example, a meeting; then we ask them to examine how the relationships among the players at the meeting affected events and outcomes. Finally, we ask the "administrator" and others to consider how he or she participated and what impacts that participation had on the course of the meeting.

An important part of the reflection process is the continuing personal analysis we ask each participant to undertake. In journals and structured assignments, we ask each student after each session to examine his or her own reactions to the role plays. Typically, we seek to have them explore the alternatives that the "administrator" had available at critical junctures in the role play (for example, when the angry parent accused the teacher of neglecting her child during an office meeting with the principal, what possible actions could the principal have taken?). Following consideration of these alternatives, we ask students to select the best one for them had they been the "adminstrator." Most importantly, we ask then then to justify their thinking based on substantive reasoning (what makes best eductional sense), interpersonal reasoning (what makes best sense to the individuals involved, both logically and emotionally), and intrapersonal reasoning (what would I be best able to succeed at doing?). We assign readings on related topics in order to provide a vocabulary to use in exploring these issues.

Feedback on Effects

Although the vast majority of students have found this class worthwhile, others have felt uncomfortable with the way it was designed. To gain insight into the student perceptions of the class, student feedback, collected during and after the course, has been divided into three categories: Knowledge of

educational issues (substantive), knowledge of people they must work with (interpersonal), and knowledge of themselves (intrapersonal).

Substantive. Certain skills and knowledge areas were built into the simulation (although we found that the simulations developed lives of their own in this respect). The comments from students regarding the course from a practical perspective were overwhelmingly positive; students did not, however, readily identify the substantive or "content" contribution of the course:

"Excellent course-exceptionally practical and relevant. Should be a course requirement for administrators. It gives useful skills in dealing with volatile issues and potentially damaging situation."

"An effective means through which to complement theory and bring theoretical concepts to life. Also a realistic picture of what educational administration entails."

"Very true as to what administrators face in their daily work. Gave me information as to how to face the real situations."

The general feeling that this course combined theory and practice stemmed from the use of a case study, a new experience for most students. Virtually all the students thought the case study materials were orderly, complete, and realistic.

"The reality of the situations set up for role playing in class [was beneficial]; it is good they were designed to convey the reality that there are no clear cut, easy answers."

"The best way to see the good and bad in something is to see it in action." Simulated experiences involving issues provided realistic situations to act within, react to, and analyze. Over and over again the course content and format were acknowledged for their "intensity" and "realism." One student best expressed this by referring to the course as "The Reality Slap."

The success of the role plays, however, tended to make them the dominant focus of the course, often at the cost of "content." Students were given daily reading assignments from various educational journals to enrich their knowledge base on the topic of the day, but these were not well integrated:

"I would have liked a little more structured integration of the readings."

"I think simulations have their place in nearly any course offering, but should not be the entire focus of the course. I am concerned about the course being 'content light' - maybe focusing on only one or two issues rather than three during the three week period would allow for more indepth study of a problem and bring it to more of a solution."

The role playing exercises were generally perceived as "realistic," "easy to relate to," and "helpful." As expected, they were not perceived as being "comfortable" and some were characterized as "distressful." Interestingly, experienced administrators did not tend to feel the simulations were unrealistically stressful as often as did pre-service students.

"The role plays in themselves were realistic. However, some of the participants really went overboard. However, it did make us aware to be ready for anything!"

"I thought the role plays were realistic. The last week's materials, though, seemed particularly skewed to the negative in terms of issues for the Assistant Principal to deal with and this made the role plays less comfortable than they had been the two previous weeks. That might have been an issue of firing or conflict, though."

Interpersonal. As the students began to deal head-on with substantive matters, they found that the interpersonal dimension of their roles as administrators was inseparable from their consideration of solutions. Interpersonal themes raised included the following: team problem solving, leadership of meetings, redirecting people in conflict, motivation of staff, engaging others in the change process, and the development of consensus. When students were asked to list the course's two greatest strengths, the one comment that came up repeatedly was "the students being able to interact with each other." Significantly, this interaction with colleagues was essential to learning about the interpersonal dimensions of the role plays. It was an opportunity to learn from the other "players" how they felt and why they acted and reacted in the event as they did:

" It was an opportunity to 'try out' new ways of interacting, an opportunity to get feedback from peers on your ideas, judgments about how things should be handled, rather than from superiors."

"Allowed opportunity to try ideas with other administrators/exchange ideas."

"An opportunity to weave interpersonal and personal levels into the substantive level. Time to share experiences with each other time to collaborate."

Intrapersonal. In this third dimension, the course separates itself from most other educational administration offerings. Students were asked to assess what personal skills, knowledge, and temperament they might need in order to deal with the substantive and interpersonal issues they faced in each daily event. Students' self assessments most often centered on their ability to speak clearly and logically, to consult effectively, to understand complex issues and relationships, to be honest and personally affirming of others, to draw on a philosophical and theoretical base to provide consistent leadership, and to handle the personal stresses of dealing with conflict.

The intrapersonal dimension forced student to reflect critically on their own ability to carry out certain administrative tasks. And as evidenced from the following comments, it was not easy.

"The role plays were useful but I felt much stress if I was a major player. The issues were real, to the point where I have experienced some; however, I felt like no matter what I said or did, I would be attacked."

"They were not comfortable only in the sense that they made me reach into areas of myself I had not before."

Most important to us were students' perceptions of the direct bearing ofthe experience on their thinking about administrative careers:

"Even after four years as an administrator, I can still recall the sense of being overwhelmed with the responsibilities of the job. I wish I'd have had a chance

to take a course like this before I became an administrator so I wouldn't have walked into the job as blindly as I did. Those first six months on the job might not have been so difficult–I thought I had moved into the twilight zone!"

"Gives you some hands-on experience for new administrators. Gives other administrators a chance to analyze how they handled a situation–strengths and/or weaknesses."

To create an environment which promoted student reflection, a number of methods were used. Students were asked to keep a daily journal, classes were videotaped, and the class was taught by a team of professors. These each evoked comment from students. For many students, writing a reflective journal was a new and useful venture:

"The journal helped me understand events better and allowed me to relate the course to myself."

"I learned more from your [professor's] comments in my journal than anything else. The journal made me see where I was off base and what mistaken ideas I had about certain leadership roles."

Each role play was videotaped and students were encouraged to take these home and review them on their own. In the first few class sessions, students felt a little uncomfortable being videotaped but soon were able to ignore the camera and slip into their own modes of behavior. Practically every night, each set of videotapes was taken home by a student, as they voluntarily used these as a basis for journal reflection. As one student reported, "Videotaping provided a dramatic and positive dimension that permitted this course to be personalized."

If there was one weakness of this class, it was the issue of time. The class was taught in two ways, as a three-week summer session and as a sixteen-week regular semester session. In both instances, the lack of time was a concern expressed by the students.

"We needed more time to talk about some of the articles."

"Not enough time to really play out situations to their natural conclusions. I wish we could have had more time to talk about gender issues."

"Not enough time to fully explore some topics which arise."

"Time between sessions was not adequate to pull together reflections and plans for the next class."

"The time frame was a problem in the 16-week version of the course. When classes were weeks apart, it was difficult to keep up the interest and momentum."

In sum, nearly every student affirmed the idea that graduate courses that purport to prepare school administrators should be more like this one:

"I cannot emphasize enough that courses should be taught in this manner."

"This my belief that most of the graduate courses should be taught in this manner. I know this may be difficult to do, but thought should be given to it."

The Role of the Professor

While this laboratory course was a novel experience for students, it was especially so for the professors. From the standpoint of the professor, this type of course design was both very rewarding and extremely demanding. The professors of this course not only needed to combine theory with practice, but needed to create an atmosphere in which students could reflect on why they acted the way they did. Professors and students benefited from this format because it created an environment of inquiry.

The time necessary to make the class successful went far beyond the other "typical classes" we teach in educational administration. Because events and trial practices changed daily and even hourly, professors were constantly observing, evaluating, and planning both the simulation and the integration of content and personalities to teach skills.

Most professors in educational administration are well versed in substantive, content areas. This expertise can be established by either doctoral educational programs or by experience. What most professors in educational administration are not ready to teach are the interpersonal and intrapersonal dimensions which this class highlights. Experience alone does not give one the ability to instruct, guide, and counsel students through this type of experience. Few professors have themselves learned to interpret the interpersonal and personal dynamics which arise in a course of this nature. The investment of time and the extending of oneself personally to students took us somewhat by surprise. Clearly, professors do not so much teach such a course as they facilitate and structure adult learning.

The 1990s present an unprecedented opportunity to change the nature of our educational administration programs. However, if universities want to enhance program quality, they must invest in the retooling of professors in educational administration to carry out such changes. Professors who teach courses such as the "Cashwell" simulation need not only to be well versed in content areas but must also have an understanding of group process, conflict resolution, consultation, and human development.

A Potent Medium for Administrator Development

We believe that the success of our course hinges on our ability to operationalize two premises: that administrators need to follow the learning cycle; and that administrators need to think constantly about their actions in all three dimensions of leadership. By facing "real" situations in a simulated setting, we have enabled students to learn and practice these two helpful tools for acting and thinking as an administrator. The "real" situation gave them the vivid and dynamic flow of facts, ideas, deadlines,

and interpersonal alliances and animosities within which they could test their own skills. The simulated setting and the structured reflection provided them the luxury of time to plan, the benefit of support in learning, and the advantage of taking risks without having to live with the consequences.

In educational administration, students are often taught theories and practices without simultaneously applying administrative theory to practice. The University of Maine's school simulation required students to make such application and, in doing so, permitted both instructors and students to evaluate students' suitability for public school administrative performance. Such a class marks a new approach to administrative study at the University of Maine, one that promises to give coursework the professional development dimension called for in state certification reform and in national initiatives for upgraded graduate training and study.

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Chapter 4

Case Records: A Means to Enhance the Knowledge Base in Educational Administration?

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When Paula Silver established the Center for Advancing Principalship Excellence (APEX) as a continuing education program for principals, she focused attention on the use of the case record. First and foremost, citing the common use of case records among doctors, lawyers, engineers, and architects, she defined the case record as a valuable professional development strategy. The preparation of case records she claimed "helps the professional analyze situations systematically; remember the details of each case; become aware of the outcomes of action and thus become somewhat experimental in practice; and distinguish between personal, emotional problems and professional, intellectual ones." (1987, p.69)

Aside from the advantages to the individual who prepares the case record, the case record is also viewed as an important source of information of value to practitioners as well as to the profession as a whole. Professor Silver (1987) noted that, in a profession in which the "voices" of practitioners are seldom heard describing or discussing problems of practice, the case record provides a means for them to contribute information to the knowledge base and is, therefore, a means of gaining new and valuable information about important aspects of administrative practice. Through its reflective approach and emphasis on these problems of practice, the case records generate a view of administration which is not typically explored in a "public" forum. The information generated by case records not only expands understanding of the reality of the administrative world but also provides a basis for the development of a research agenda which can more closely respond to organizational and administrative concerns.

This theoretical rationale makes sense. We can learn more about administration by learning more about problems of practice from the

viewpoint of the practitioners as well as by examining the way in which practitioners respond to these problems of practice. But, at a more pragmatic level, do case records actually generate the type of information which expands our knowledge base in any significant ways? Do they, as Silver suggested, yield information which expands our knowledge of problem of practice? Do they provide guides to improve the effectiveness of administrative behavior? Do they help to uncover problems, questions, or issues appropriate for further research?

As an initial effort in responding to this question, a sample of case records submitted to the Silver Center was selected for an exploratory analysis.

The Case Record

The case record is a structured approach to reflection which, through a series of questions, encourages the respondent to review systematically the decision process initiated in response to a particular problem. These questions ask the respondent a) to describe the problem, b) to identify the intended outcomes or objectives, and c) to outline the alternative strategies considered. With this overview of the planning phases of the decision process, the respondent is then asked d) to describe what was done, e) the result of those actions and finally f) to assess the effectiveness of these actions in achieving the stated objectives; to identify critical events, decisions or situations which influenced the outcomes; and to identify other approaches which might have been more successful. Further reflections are also invited.

In sum, the case record provides information on each stage of the decision process: planning, decision, implementation and assessment. It examines cognitive and conceptual dimensions of the planning process as well as the more tangible aspects. It enables a review of actions as well as intentions. Although the information presented is subjective and represents only an individual's perspective, one might argue that these subjective aspects of decision making are essential to administration (Osterman, 1990).

Using the Case Record to Enhance Knowledge

What can be learned about the decision process from examining case records? The first three questions yield information which expands understanding of the cognitive and conceptual aspects of decision-making from the standpoint of administrators. The problem statement, as well as the alternative strategies and intended outcomes, convey important information about the predominant theories-in-use which shape behavior. This information can be assessed from the standpoint of individual cases or categories. Assuming that themes or patterns

are identified, to the extent that the data base allows, these questions could be examined to determine if differences are related to variables such as age, sex, education, or locality. This question is particularly interesting within the context of the current debate regarding efficacy of professional development programs and the relevance of theory to practice.

At a very basic level, the problem statements provide some insight into the types of problems which typically command the attention of educators and how they conceptualize and analyze these problems. Assuming that theories-in-use influence behavior (Argyris & Schön, 1974), one could look for differences in the way in which the respondents conceptualize the problem and try to determine if and how these differences relate to strategies and/or outcomes.

After reviewing the responses to these questions, insight into the thought processes which led to the strategic decision can be gleaned. The next section of the case provides a description of the actions which were actually taken. The action strategies could be examined separately or as one step in a total decision process. Consistent with Fiedler's findings (1974), as well as with Schön's (1983,1987) explication of the distinctions between abstract thought and thought-in-action , one might expect to find differences between intention and action. Finally, the case record provides a means of examining administrative responses for successful strategies; to test current theories that are espoused or in-use; and to develop guidelines for practice within the context of modified or new theories shaped by experience. What action strategies are described? Are any patterns discernible in these action strategies? Do successful strategies differ noticeably from those which are not successful?

Obviously, there are numerous ways in which the case records can be analyzed. This exploratory analysis focused on only a few of these questions, not from any attempt to test a specific hypothesis but simply to see, in practice, whether or not case records might expand knowledge as hypothesized.

The Sample

The sample includes 46 cases. The cases selected were those which had been completed in enough detail to obtain a clear picture of the problem as well as the responses to the problem. Although Silver's intent was to obtain case records from principals, many of the case records reviewed here were prepared by other school personnel: assistant principals, department chairpersons or other supervisory personnel, administrative interns, teachers and counselors.

In this sample, 12 were prepared by principals, eight by assistant principals, 18 by other building level administrators, and eight by teachers and/or guidance counselors. Of the 46 cases, 19 address problems at the high school level, six at the intermediate, and 20 at the elementary level.

Several questions were posed for this initial analysis:

1. What types of problems attracted the attention of the respondents?
2. Did respondents tend to describe those situations in which they were successfully able to achieve their objectives?
3. With respect to the alternatives considered to solve the problem in question, what considerations are apparent? Are alternative strategies reported, and if so, what types of strategies are reported?
4. Are there apparent differences between successful and unsuccessful strategies?
5. Do the case records provide useful information about administrative practice or generate a view of administration which is not typically explored in a "public" forum?

Findings

The findings with respect to each of these questions are as follows:

1. What types of problems were recorded?

Problems were classified into six categories: student behavior, curriculum and instruction, management and organization, supervision, personnel, and community relations.

Student Behavior includes cases in which the presenting problem is inappropriate student behavior. Cases in this category, for example, include incidents of vandalism, conflict between students on or off school property, and classroom disruption.

Curriculum and Instruction includes cases in which the central issue is the quality of curriculum, or instruction, for example, the need to develop and individualized program for a student with special needs.

Management and Organization refers to those cases about policy, practice, and procedures. Cases in this category focus on problems such as unanticipated impact of a new student disciplinary policy, faculty dissatisfaction with a building repair schedule, and an honor student's failure to complete diploma requirements.

Supervision includes those cases about quality of work performance on the part of a teacher or other staff member and range from problems with teacher burnout to problems with building custodians.

Personnel refers to those problems which occur between or among staff members which are not necessarily related to the quality of work performance, for example, interpersonal conflict or health problems.

Community Relations cases are those in which problems predominantly concern individuals or groups outside the school, for example, cases prompted by a student's arrest for rape, a custody conflict between divorced parents, and parental child abuse.

Among the 46 cases reviewed, the majority were classified as either student behavior (11) or management and organization (11). There were nine cases dealing with supervision, and five each in the remaining categories–curriculum and instruction, personnel and community relations.

2. Did respondents tend to describe only those situations in which they were successful?

Those cases which were not on-going were categorized as successful, unsuccessful or mixed. Of the 43 cases which had been concluded, 25 were successful, six were unsuccessful, and 12 were classified by the respondents as only partially successful.

3. With respect to the alternatives considered to solve the problem in question, what considerations are apparent? Are alternative strategies reported, and if so, what types of strategies are reported?

Confronted with a particular problem, how did these educators respond? This analysis focused on only one aspect of the planning process: the identification of alternative strategies.

An individual's response to this question can be viewed as an indicator of conceptual complexity. Bolman and Deal (1986), Hart (1990), Pitner (1987), and Whyte (1967) among others, discuss the importance of conceptual complexity for the administrator and propose that the ability to envision multiple and diverse alternative strategies may increase flexibility and effectiveness.

The responses to the question, "What alternatives did you consider to solve the problem?" were counted and categorized using Bolman and Deal's four frames . Responses were classified as structural, human resource, political, or symbolic. Structural approaches are those which attempt to resolve a problem by manipulating basic organizational components such as rules, regulations, policies, procedures, aspects of work design, or organizational processes such as decision-making or communication without regard for personal considerations. In a student behavior case which involved a student suspended for incidents of physical violence, for example, the strategy outlined and followed was exclusively structural and involved strict adherence to due process procedures. In another case, student misbehavior was dealt with by dividing groups, changing the schedule, and outlining punitive actions. In a supervision case, staff problems and anxieties were successfully relieved by changing class structure and modifying staff support arrangements.

While the structural frame is an impersonal approach which focuses on the organization and the job, the human resource frame focuses on the employee as a person. Human resource strategies are those which emphasize the importance of identifying and responding to individual needs as a basis for resolving problems, for example, a meeting held to "understand the perspectives of others," the use of non-judgmental feedback and "listening" to respond to a "serious morale problem."

In some cases, what distinguished a structural response from a human resource strategy was the intent or context. For example, an administrator may recommend a meeting with involved parties. If the meeting is for the purpose of clarifying the rules and regulations as a mean of gaining compliance, the strategy was classified as a structural response. If the purpose of the meeting was to enable the participants to engage in the decision process, to share information, or to provide a forum for communication about the issues from different perspectives, the strategy was classified as a human resource strategy.

Political strategies were those which involved the use of power or pressure from individuals or groups, for example, a group of teachers who obtained the support of the union and the community to pressure for change, a district administrator who used the threat of public exposure to force a teacher resignation, or a principal who used peer pressure to enforce a discipline policy.

Symbolic strategies were those in which the actions took on the characteristic of a ritual or drama. Examples of symbolic strategies might be an honors or award ceremony. Interestingly, there were only two strategies noted in the cases which could be construed as symbolic. In one situation, the principal held a meeting "to express outrage and disappointment at embarrassment to school, families, and district:" (Case 3)[1]. In another, a teacher upset at being required to teach a course in an unacceptable way considered calling in sick (Case 25).

With the exception of several cases where information was not included, respondents reported that they had considered multiple alternatives in the process of, or prior, to deciding how to proceed. Of the 43 cases (three did not identify alternatives), 152 alternatives were categorized. Of these, 108 (72%) were structural in contrast with 31 (20%) which reflected human resource considerations. Only nine were political and only two could be construed at symbolic.

4. Are there apparent differences between successful and unsuccessful strategies?

What distinguished successful strategies from unsuccessful strategies? Do case records enable the identification of more effective strategies? Do successful strategies differ from unsuccessful strategies? From a rather cursory examination of the approaches outlined in these cases, several hypotheses present themselves.

First, successful strategies respond to personal needs of organizational members. Using Argyris and Schön's distinction between Model I and Model II (1974), successful administrators use Model II approaches. They share control; they maximize the information available to all of the parties; they seek win/win solutions in which all participants experience psycho-

logical success. They utilize strategies which recognize the needs of other to exercise personal causation and seek consensus decision. In resolving a dispute between two children, the assistant principal involved both to develop a plan and follow-up procedures and reported that "having the children feel like they were the decision-makers helped that plan to be successful." Similar strategies were reported in cases involving vandalism and substance abuse at school social events (Cases 1, 35), vandalism by a member of the wrestling team (Case 28), and persistent conflict between senior staff members in a high school department (Case 6).

Unsuccessful strategies, in contrast, tend to emphasize organizational control issues and neglect human resource issues. These attempts to achieve control and compliance, using structural techniques, subordinated personal needs to organizational needs, and disregarded opposing views, feelings, and needs of organizational members. One such case focused on a departmental effort to improve special education testing procedures. Teachers devoted a great deal of time and effort in meetings with school personnel and representatives from publishing companies. As reported, "The chairman started out with one opinion, let the committee meet, make decisions and do a lot of leg work. Then he made the (final) decision based on his own opinion" (Case 23). Case 11 is a similar situation where the principal had delegated the responsibility to resolve a problem and then failed to provide the support necessary to make the plan work. In Case 14, a principal ignored concerns of faculty members about an attendance problem until they threatened to go to the community and then, as did the principal in Case 23, rejected the input of a teacher committee which had met regularly, and developed his own plan.

In another case, a supervision problem was viewed strictly in structural terms with no attention to human resource considerations. The replacement of the newly appointed and highly enthusiastic administrator was a structural success but a human resource failure. "The administrative tasks are now being performed satisfactorily. However, the teacher is now continually in very subtle and not to subtle ways attempting to undermine the new person and the program. The rest of the staff have partially isolated the teacher. The plan has partially worked, however, the human relations of this teacher still affects the operation of the program and the community's perception of the program."

When feelings of people are ignored in favor of structural considerations, strategies fail. On the other side, however, structural solutions are often highly effective in resolving human resource problems. Case 22 describes the successful efforts of a principal to convince the central office to purchase a new copy machine. By keeping very systematic records, he clearly documented the inefficiency which had created consternation for the

principal with teachers and parent groups. Case 30 describes how staff problems and anxieties were relieved by restructuring classes and support staff arrangements.

Secondly, a review of the case records illustrates the importance of communication in problem solving and supports Leavitt's findings (1951) that some communication patterns are more effective than others. The cases illustrate the comparative advantage of the circle pattern of communication for decision-making over a linear or "chain" pattern. Successful strategies are characterized by an unrestricted flow of information among those involved. For example, in Case 37, there was need to develop an orderly procedure to get all classes into the auditorium. The problem was presented at a faculty meeting and the new plan–acceptable to all–grew out of a brainstorming session which followed. "Involving the teachers in the planning stages helped in getting their cooperation in making changes. Brainstorming resulted in not only a plan but a notification system informing the teachers that the event was ready to begin." Cases 38 and 39 describe the use of a group meeting to respond to a concern about a student's mental status and to a placement issue. "The team meeting was very effective," and the final decision was acceptable to all.

In unsuccessful cases (Case 21, 9, 7, for example), communication patterns tended to look like the chain or the wheel with the flow of information being controlled by one person or being passed from person to person. Case 21 directly addressed these communication issues. A teen parent in a special program was observed "baiting and teasing her one year old." The teacher spoke to the parent and then spoke to the social worker. She relayed the problem to the social work intern who then called the teen parent from class to counsel her. The intern's approach angered the student who then dropped out. As the respondent reflected: "The chief critical event was the haphazard lines of communication. . . . None of us took the time to clearly define our concerns and course of action. Better communication among the three of us would have helped (us)[sic] to agree on the course of action to be taken. People involved need to make sure that everyone is understanding what is being said. 'This is what I hear you saying, am I right?' and 'This is what I will do, what will you do?'"

At the same time, circle patterns do not always lead to success. In Case 15, the process paralleled that outlined in Case 39. In response to a concern about a special education placement, a group meeting was held, but this meeting led to a decision which was never implemented. This exception, however, points to another important issue. In this case, there was no consensus on the problem. The parents were never able to get the staff to agree with their view of the problem, and the staff, who harbored an unspoken view that the parents were really the source of the problem, simply ignored the process and made no changes in the child's instructional program.

Third, the case records suggest that multidimensional strategies appear to be more effective than unidimensional approaches; and that the identification and use of multiple strategies reflect a more complex understanding of the problem. Successful cases are those in which strategies are tailored to the problem; but the choice of a successful strategy is strongly influenced by how the problem is defined. Many of the problems described in these cases, although apparently simple, are multidimensional and require multiple strategies. Consequently, problems successfully resolved are more likely to be problems analyzed in greater depth or, using Bolman and Deal's (1986) terminology, through different frames or perspectives.

5. Do the case records, as suggested, generate a view of administration which is not typically explored in a "public" forum?

Given the confidential nature of the case record, respondents are able to discuss aspects of their practice which are not normally explored in a public forum. Case records, for example, describe the reaction of subordinates to administrative behaviors, the often far-reaching impact of administrative decisions and actions, as well as attitudes which affect the way people deal with problems.

Several cases, for example, describe how administrators created or aggravated problems by their failure to anticipate accurately the different perspectives or concerns of their associates. In Case 20, an attendance plan developed without input from teachers had created havoc. Subsequent involvement of teachers in the decision process produced a new plan which was satisfactory to all. In Case 9, a principal's arbitrary reversal of a decision in response to political pressure created a morale problem among teachers.

Development of case records by persons in other roles enables administrators to obtain a perspective about the impact of administrative actions on other members of the staff, feedback which normally would not be presented to them. For example, cases dealing with discipline policy (Case 7), high school diploma requirements (Case 9), special education procedures (Case 23), physical education schedule (Case 11); and attendance problems (Case 14) describe the way that administrative actions resulted in demoralization, alienation, and frustration among staff members and created antagonism and divisiveness between teachers and administrators. Case records offer a way to express this frustration and introduce this information in a risk-free way into professional dialogue.

In Case 23 the negative experiences of the respondent led her to conclude that she would be "hesitant to become involved with any committee." The case records also point to a more generalized reluctance to approach supervisors with problems related to the organizational authority. In several of the cases, for example, respondents described feeling that superiors

would not be open or responsive to their concerns: in one case, teacher dissatisfaction with an assignment (Case 25); in another, staff concerns about the health problems of a colleague (Case 17). In the cases dealing with the copy machine and a student suicide, both respondents also discussed feeling that their concerns would not be well received. As one administrator reported, "I would have informed the business office much sooner if I had known they would be so receptive." The respondents in several of these cases describe how their experiences led them to change their views about what is acceptable and effective. The opportunity to explore these problems and to observe the success of nontraditional approaches provides support for other administrators to experiment in their own approaches.

Discussion

As indicated, this is by no means a comprehensive or conclusive analysis of even the small number of case records included in this sample, but it does illustrate ways in which case records can enhance the knowledge base in the field of educational administration. For the profession as a whole, records provide information which can be used to illustrate, clarify, test, modify, and expand theoretical formulations and to identify directions for future research. The predominance of structural and impersonal approaches to decision-making in these cases, contrasted with relative effectiveness of strategies which recognize and address personal needs, raises interesting questions. A comment by Whyte is relevant here: "Most men carry in their heads an extremely limited repertoire of models. They could act with more understanding and effectiveness if they made their own models explicit and if they could become more flexible and inventive in developing and applying models to the problems they face" (cited in Crowson & McPherson, 1987, p. 59). The findings here suggest that educators function largely within a single model: at a conscious, cognitive, intellectual level, structural considerations dominate the decision process. When they outline possible strategies, their focus tends to be uni-dimensional and focused on the system often to the exclusion of the individuals within the system.

Fiedler's (1974) research shows that while individuals hold certain abstract views about leadership, their behavior is not always in conformity with those concepts in "real world" situations. Schön also leads us to anticipate that there may be discrepancies between theory and practice (1974, 1983, 1987). A cursory examination of the case records comparing alternatives to action is consistent with this research and shows that in some cases, the administrators used a more complex range of strategies that those they outlined. In other cases, however, the action was more consistent with the alternatives which were described. These discrepancies are particularly

interesting since the case record is a retrospective review of one's own decision process. One might assume that, in retrospect, the respondents would incorporate their own action into the conceptual schema that is reported, but this does not seem to happen.

The concept of reflective practice maintains that awareness of behavior, and particularly awareness of the contradictions between our espoused theory and our theory-in-use, is an essential precondition of behavioral change. Argyris and Schön described what they perceived to be a prevailing theory-in-use in our institutions and organizations. In this model, Model I, the actor seeks to define goals and tries to achieve them; to maximize winning and minimize losing; to minimize generating or expressing negative feelings (or any feelings, one might add); and above all, to be rational. These governing assumptions influence the action strategies which are called into play in specific ways. They encourage an individual to attempt to design and manage the environment–unilaterally; to own and control the task; to unilaterally protect oneself; and to unilaterally protect others from being hurt by withholding information, creating rules to censor information and behavior or by holding private meetings. By employing these strategies, the actor is seen as defensive, inconsistent, manipulative and unconcerned about others. These strategies lead to defensive relationships and dependence on the part of subordinates; mistrust; conformity; and low freedom of choice, internal commitment, or risk-taking. In sum, the attempt to exercise or maintain control by choosing a highly rational process which basically excludes other participants as individuals also limits their ability to participate effectively in the decision process or to share in determining their own fate.

If the central core of effective educational administration is primarily the ability to work successfully with people and to create "growth enhancing organizations," a position espoused by Robert G. Owens, the predominance of Model I, both as an espoused theory and as a theory-in-use among educators, is an important issue, particularly because these cases document the negative impact which occurs when these strategies are employed and human resource considerations are ignored or neglected.

Secondly, the case records do provide information about practice which may not be readily accessible or apparent. The case record provides a view of administrative behavior which incorporates intention as well as action, motivation as well as outcomes. The case record also provides information about strategies and outcomes from different perspectives, information which could be useful in enhancing administrative effectiveness. While the information which case records provide may not necessarily be "new" knowledge, it is knowledge in a new form. Rooted in experience, the case records contain information which comes directly from the world of

practice and therefore is likely to have more legitimacy than that which is generated or developed in a more abstract fashion by nonpractitioners.

The case records illustrate theoretical concepts in behavioral and experiential terms. In concretizing what could otherwise be viewed as a sterile, abstract and meaningless theoretical perspective, the case record establishes preconditions for learning. If Argyris and Schön are correct, the outcomes of those cases which illustrate Model I and Model II theories-in-use should be noticeably different and clearly demonstrate the importance of these theoretical positions for practice. This realization, in turn, could be the stimulus which initiates the process of reflection and self-awareness and leads to modifications of theories-in-use, experimentation, and finally, new knowledge as evidenced in new modes of action.

Finally, the case records also strengthen the knowledge base by defining a new role for practitioners as creators of knowledge rather than consumers. By establishing the importance of and strengthening the foundations of "practical" knowledge, case records emphasize the integral role of the practitioner in the development of the knowledge base. In so doing, they attract new knowledge and help to bridge the gap between theory and practice.

Typically, knowledge is thought of as abstract concepts or ideas. Consistent with our philosophical and scientific heritage, artificial distinctions between theory and practice are created, idealizing the world of ideas and denigrating the world of practice. Schön has questioned the legitimacy of these distinctions and proposed an alternate perspective which once again integrates the world of theory and practice, idea and emotion, and focuses on "knowing-in-action." Within this framework, knowledge exists in the world of action as much as in the world of ideas. This reconceptualization enables practitioners and academicians to become partners in development of the knowledge base and thereby eliminates the artificial distinctions which exist between "researchers" and "practitioners," between "theory" and "practice." Within this conceptual framework, case records, which portray the administrator as an intentional actor and explore the interplay between thought and action, could indeed be an important and valuable source of knowledge.

Conclusion

To return to the initial question: Do case records actually generate the type of information which enhances the knowledge base in the field of educational administration? How one responds to this question depends to a certain extent on one's perspective about what information is important, what issues are interesting, and what modes of inquiry are legitimate. Considering that this analysis of case records was exploratory and somewhat cursory, they do provide information which increases understanding of administrative practice and identifies areas for further inquiry.

Their most important contribution, however, may not be as a source of new information or ideas, but as a means to establish the linkage between theory and action. In the history of intellectual thought, there are few truly new ideas; but there are many valuable ideas and much information which have yet to reshape traditional patterns of behavior. As an experiential illustration of theoretical concepts and principles, case records can facilitate the interplay between ideas and action and thereby enhance the knowledge base in the field of educational administration by creating new knowledge-in-action.

Notes

[1]The case number cited refers to case records on file at the Silver Center in Hofstra University.

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Chapter 5

Early Childhood Reform and the Knowledge Base of Educational Administration

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This research was supported by the Spencer Foundation and the Graduate School of the University of Wisconsin-Madison. The author extends her appreciation to Debra A. Long for her assistance in data collection and analysis.

The education community is reaching a consensus that early intervention is one strategy for surmounting obstacles to student achievement (Council of Chief State School Officers, 1988; Ford Foundation, 1989; Kagan, 1989; National Governors Association, 1986). Two separate early childhood education agendas have emanated from the policy and service delivery system of general and special education. Part H of Public Law (P.L.) 99-457, The Education of the Handicapped Act Amendments of 1986, mandates that by Fall 1991 all public schools must provide services for all children ages three-five with disabilities, (Gallagher, Trohanis, & Clifford, 1989). Concomitantly, general educators are requesting national policy initiatives for comprehensive early childhood education for all children, with a focus on economically disadvantaged, culturally diverse preschoolers who are considered at risk for educational failure (Coley & Goertz, 1987; Committee for Economic Development, 1987; Schweinhart, 1985, Slavin & Madden, 1989).

Federal policies to achieve educational equity (such as Chapter I or Public Law 94-142) have created a fragmented, separate, and unequal educational system (Gartner & Lipsky, 1987; Sleeter & Grant, 1987). If the implementation of early childhood initiatives and mandates is to be success-

ful, it cannot fall prey to the pitfalls that have plagued previous efforts to enhance educational achievement. Early childhood education will be highly vulnerable to fragmented approaches that draw sharp distinctions between general education, special educational and efforts to serve low *income, culturally diverse preschool students; between the three to five* year- old students and those in grades K-12; and between community and school services for young children. Research needs to address the role of school administration in integrative early education programs for all preschool children, particularly those with diverse learning needs.

Grubb (1989) completed a review of early childhood education and addressed the fragmentation of services through an outline of the historical strands of early childhood education, the clarification of issues in the current movement, and suggestions for financial and policy options for implementation. Grubb succinctly describes philosophical and "turf" divisions between early childhood and elementary education Grubb as well as other early childhood experts (Kagan, 1989; Zigler, 1988), contends that services should not be fragmented especially between child care and early education, and between early and elementary education. Grubb notes "...if early childhood policy is to be integrative, then it must take care not to replicate the divisions that now plague early childhood education. In particular, any early childhood program established by a state should encompass both child care during the working day and early childhood education; neither half-day preschool programs nor low-quality, custodial child-care programs are adequate" (p. 388). He surmises that ". . . the differences between elementary education and early childhood education reflect basic differences in conceptions of learning the roles of parents and teachers, in the training necessary for teachers, and in purpose. The question for policy is not whether these differences exist but whether they can be contained and narrowed" (p. 371). Recommendations for state policies to address the needs of young children also emphasize the need for a comprehensive approach which encompasses child care, family involvement, and early education, coordinated at the level of the school district (State Superintendent, 1989).

Grubb (1989) and others feel that public education should be actively involved in the early childhood education effort. Grubb's analysis suggests, however, that school districts alone should not be the sole provider of programs, but that a variety of institutions be afforded the opportunity to compete for funding. In contrast, Zigler (1988), in his conceptualization of the school of the 21st century, feels the school should be the pivotal point for all community early childhood education services. Contrary to the warnings of fragmentation of services and the history and outcomes of policies resulting in separate systems of education (most notably in special education), Zigler advocates a separate system of services within the schools. He suggests that the second system would operate on-site child care for children ages three to twelve and would have three outreach

programs: a family support system for first-time parents, support for family day care homes within the neighborhood, and information and referral services.

All the policy reports, literature and research reviews, and recommendations to address the current needs of children, have failed to address comprehensively, the history and lessons to be learned from the services provided to preschool children with disabilities and children from low income families. Over the last decade, many school districts have served preschool children with disabilities via the Handicapped Children Early Education Projects supported by the Office of Special Educational and Rehabilitative Services of the U.S. Department of Education. Head Start has provided the majority of services for low income children, of which some programs have operated within the public schools. While the majority of reports and literature briefly mention that children with disabilities should be included or integrated into the early childhood programs, and low income children should be targeted, they do not acknowledge how early childhood policy options will be integrated with the existing service system for children with disabilities and for poor children in programs such as Head Start.

While these and other reports focus on early childhood education from a policy perspective, and research has separately examined intervention for preschool children with disabilities and children at risk, the role of school administrators in early childhood education for all children has not been addressed. The knowledge base of educational administration has also focused on students within the K-12 academic program, but has neglected education for students with diverse learning needs, particularly for children under five years of age. Thus, research is needed that can join research and practice in school administration with what we know about early childhood education for all children, particularly those with diverse learning needs. The next step to meet the needs of young children would be to consider how this information can or should inform the knowledge base of education administration.

Specific Focus

Grounded in the community context of the school, the purpose of this comparative study was to examine early childhood education programs for children with disabilities in economically disadvantaged communities as compared to a suburban, affluent community. The economically disadvantaged communities represented urban, poverty; rural, low income; and a Native American reservation site. Questions which guided the study included the following:

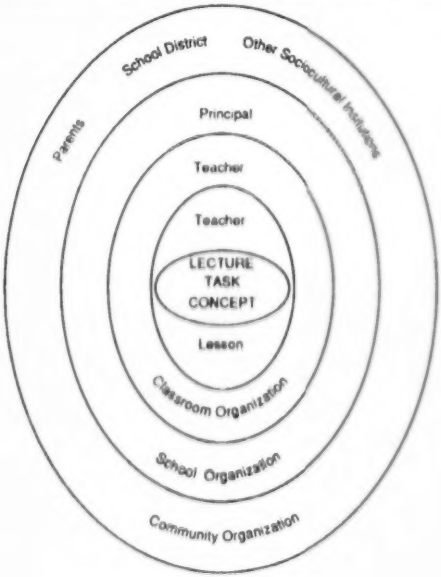
1. What is the current status of early childhood education in these districts?
2. What is the role of school administrators in these programs?
3. To what extent are these programs coordinated with other early childhood education efforts?

4. What implications does this information suggest for the knowledge base of educational administration?

Conceptual Framework

The conceptual framework for this study is rooted in the work of Bronfenbrenner (1979) who views the child's development in relation to this or her environment. The child functions within several microsystems (such as home activities and school experiences) with all of these microsystems constituting a mesosystem within which there are interrelationships (Ratajczak, 1990). The interrelationships among these systems or "nested" contexts are most important. Cazden and Mehan incorporated principles from Bronfenbrenner to identify issues when teaching culturally diverse students. They examined the immediate task context, the language and culture of the classroom, classroom grouping practices, and relationships with home and community. Cazden and Mehan's (1989) model applied Bronfenbrenner's work to an approach that ". . . represent[s] the embedded contexts encountered when a student confronts a task as concentric circles of reciprocal influence" (p. 48). They used this conceptualization, adapted from the work of Cole and Griffin (1987) to interpret the meaning that context has on student-teacher interaction (see figure 1).

Figure 1. *Embedded Contexts (Cole and Griffin, 1987, p.7)*



Methodology

Design

A multi-site (Firestone & Herriott, 1984), multi-level (Sirotnik & Burnstein, 1985), qualitative research design guided the inquiry in both the data collection and analysis. Interviews (Schatzman & Strauss, 1973) and participant observation (Spradley, 1980) were the primary methods of collecting data, supplemented by demographic data questionnaires and document analysis.

Participants

Three school districts located in communities with a large proportion of culturally diverse, economically disadvantaged persons were selected from a Midwestern state. The school districts represented rural, inner-city, and Native American populations. A fourth district was purposively selected from an affluent, suburban school community for comparative data. The school district selection was based on principles of multisite policy research (Firestone & Herriott, 1984)) on Spradley's (1980) criteria for selecting a social situation to conduct participant-observation, and on the location of public school programs for preschool students with disabilities. Previous documented and validated research was utilized for uniform definitions of the terms rural, urban, and poverty or economically disadvantaged. "Disadvantaged" districts were also determined by the percentage of students receiving free or reduced lunches relative to other districts in the state (see Table 1).

One three-year old (3.0-3.5) child with disabilities was selected by purposive sampling in each of the districts. In the economically disadvantaged districts, a child was from a low socioeconomic class family, and in the affluent district, the child was from an affluent family. Socioeconomic class was determined by income relative to the state average and to national and state poverty lines. The children were also the lowest functioning preschool students currently attending school, based an evaluation data in the student's file. This level of student functioning was targeted for two main reasons. First, research has shown that all schools, particularly rural and low income districts, have great difficulty providing a meaningful school experience for such students (Office of Special Education and Rehabilitation Services, 1987). Second, because of advances in medical technology, more and more babies with complex medical needs are surviving, and their incidence will be on the rise in public schools.

Procedures

To answer the research questions, data collection procedures included entry, interviews, student observations and document gathering. The

Table 1. *Demographics*

(1988)	URBAN AFFLUENT	URBAN POVERTY	RURAL POVERTY	NATIVE AMERICAN
Community				
Population	41,298	46,354	566	1,969
% Unemployment	2.7	8.6	4	12.4
% in Poverty	3.9	9.7	17.2	17.9
% Minority	1.6	11.5	0	90.4
Median Educ. Level(yrs.)	15.6	12.4	12.4	11.2
Average Family Income	$55,510	$28,873	$22,785	$22,837
District				
Number of Students	6,164	6,820	812	1,016
% on Hot Lunches	2.6	52.0	16.7	98.1
% Minority	5.2	30.0	0	100.0
Special Educ.Program				
Number of Students	560	1,151	72	240
% on Hot Lunches	4.1	NA	9.7	92.5
% Minority	5.0	36.0	0	100.0
Early Childhood/ Spec. Educ. Program				
Number of Students	36	108	14	16
% of Total Spec. Ed. Population	6.4	9.4	19.4	6.7
% of Families of AFDC	NA	54.6	33.3	43.8
% of Single Parent Families	NA	50.0	20.0	6.3
% of Students from families with both parents unemployed	NA	4.6	20.0	31.3
% Minority Students	NA	36.1	0	100.0
Early Childhood/Special Education Placement				
Number of Students	36	108	14	16
% of Speech/Language	NA	3.7	93.3	81.3
% of Learning Disabled	NA	66.7	0	6.3
% Emotionally disturbed	NA	3.7	0	0
% Mental Retardation	NA	21.3	6.7	12.5
% Physically Impaired	NA	2.8	0	0
% Visually Impaired	NA	.9	0	0
% Hearing Impaired	NA	.9	0	0

districts were visited five times over the course of one semester during the 1988-89 school year.

To answer the first research question concerning the current status of early childhood education, interviews were conducted with the superintendent, school board members, special education administrators and supervisors, the principal of the child's school, program support teachers, and the classroom teacher. District records including annual district plans mandated by the state were also gathered.

Early childhood education at the child level was addressed by observing students throughout their school session at each visit by using continuous observation of activities with the Student Observation Instrument (SOI). The role of the researchers was one of passive participation; that is, "present at the scene of action but [did] not participate or interact with other people to any great extent" (Spradley, (1980, p. 59). Teacher lesson plans, student records, and classroom record keeping, such as schedules and student goals, supplemented the observations. The child's family, teacher, aide, and therapists were formally and informally interviewed for further corroborative data.

The role of school administrators and program coordination was ascertained by asking questions in all the previously identified interviews. Interviews were also conducted with community early childhood education providers, purposively selected in the categories of day care providers, Head Start directors, coordinators for early intervention, a community pastor, a community agency director, and a government official (mayor or town chairperson). Community documents such as newspapers, tourist information, and phone books were also collected. Specific demographic information was obtained through the local library in each community. To ascertain the educational context of these programs, interview data and related documents were collected on services for both children with and without disabilities from birth through five years of age.

Implications for the knowledge base of educational administration were developed from a secondary analysis of the data and from a content analysis of curriculum recommendations from the National Policy Board for Educational Administration (1989).

Instrumentation

Data recording instruments including interview protocols, the Student Observation Instrument (SOI), and demographic data questionnaires. The interview protocol consisted of key questions aimed at the study's central questions; however, the goal of the researchers was to approximate conversation (Schatzman & Strauss, 1973). Specific question domains included entry, early childhood education (instruction and coordination),

leadership, community, and exit questions. Examples of question content included the role of early childhood services in the community, if community members are willing to contribute tax dollars to these efforts, and how the school and community are currently involved with each other.

The SOI was validated in previous field studies (Allington & McGill-Franzen, 1989; Capper, 1990; Rowan & Guthrie, 1985) and was developed from suggestions in previous research on utilizing qualitative methods in research with students with severe disabilities (Bogdan & Taylor, 1976; Edgerton, 1984; Stainback & Stainback, 1981); program evaluation methods for the mentally retarded (Barton, Bruelle, & Repp, 1982); principles of observing academic learning time in special education classrooms (Wilson, 1987); and suggestions for focus observations in anthropology and sociology (Schatzman & Strauss, 1973; Spradley, 1980). The SOI included the start time of the activity, observation notes, instructional materials, methodological notes, theoretical notes, and general notes. The domain cues for the observation notes included the skill(s) being targeted, activity objective, person responsible for the teaching, adult/child ratio and groupings, developmental and chronological age ranges, and opportunities for, and descriptions of choicemaking, socialization/interaction, and communication. The domains were selected because of their documented importance in early childhood intervention for both children with disabilities and children at risk (Bailey & Simeonsson, 1985; Halle, 1987; Karweit, 1989; Linder, 1983; Phlegar, 1987; Safford, 1989; Strain, 1983).

Demographic data were gathered concerning the child, classroom, school, and community. A checklist for archival records and documentation (Murphy, 1980), was also utilized.

Analysis

To answer each of the study's questions, the four stages of the constant comparative method (Glaser & Strauss, 1967) of single, cross-site, (Barton & Lazarsfeld, 1969), and multi-level (Sirotnik & Burnstein, 1985) analysis was utilized. After each site visit, field notes were computer filed and specific, tentative answers to the research questions were written. These answers were modified and expanded after each visit. After all the data had been collected, the answers from all the sites pertaining to each question were coded and combined. Initial comparisons could then be made between the affluent and disadvantaged sites, as well as between each disadvantaged site. Also, the data from the SOI were condensed according to blocks of activity time. Quantitative analysis determined duration and frequency of student activities which were calculated into percentages of the school day. A case study narrative was written which described a "typical" day for the

child and which included comments on changes in student behavior over time. These narratives also included analytical and theoretical notes. Then, all information from the observation notes, documents, and interview transcripts from each site was coded on index cards according to information source. Next, using the four stages of constant comparative analysis, each entry was compared to the other entries to create categories and second, the categories and their properties were integrated or combined into more major patterns or themes. Third, these themes and potential theories were delimited in relation to the study questions and to this specific analysis. A final check on the accuracy and extent of corroborative data was conducted by reviewing the field notes relative to each question. The fourth constant, comparative step was writing the themes relative to each question and considering the theoretical implications beyond the immediate study in relation to other theories relative to organizations, sociology, and social psychology.

Findings and Discussion

To facilitate this comparative analysis, the districts will be identified as follows: Lakeview (suburban, affluent), Dover (urban, poverty), Green Hills (rural), Deerfield (Native American).

The Student/Classroom Level

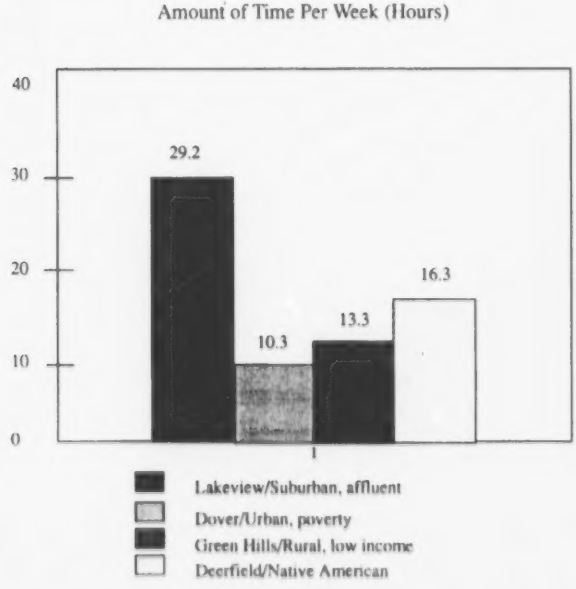
Although programmatically at the district-level early childhood education (ECE) was similar, the most striking difference between the programs was program quality at the child level. When the law was first mandated, the initial emphasis in all the districts was compliance. However, the affluent district was able to move beyond compliance and institute "state-of-the-art" practices in its programs. The districts in the economically disadvantaged communities, however, struggled to maintain policy compliance in their services. Conducting required evaluations, completing reports, and obtaining parent consent and participation, all within a specified time frame, left little time and energy for program equality efforts.

Like her peer with disabilities who lived in the affluent suburbs, the poor child was provided with a daily routine of preschool activities. The days of both the poor and the affluent child included time for speech therapy, toilet training, a snack or meal, and playtime. Like her suburban/affluent counterpart, all her classmates had disabilities, and she had no contact with similar-aged peers without disabilities. Regardless of the socioeconomic status of the family or school district, the students' classrooms had a very low student/staff ratio.

However, the poor child with disabilities spend nearly half as much time in the preschool day and week than the affluent peer (see Figure 2). The poor child spent the largest percentage of the week playing (27.6%), while the affluent peer with
similar learning needs consistently spent more time in one-to-one or small group instruction and in such individual therapies as speech, occupation, and physical therapy (25.7%).

The poor student with disabilities spent the entire day in a classroom located in the wing of a building or in a setting physically isolated from other elementary students and saw one or two other school professionals for instruction (speech therapy or physical education). The coordination of activities to teach her independence and interdependence was minimal. Most of the activities were isolated entities with no carry-over and practice of needed skills. For example, although she required extensive practice and training in communication and self-help skills, snack or meal times were completed in near total silence, staff persons sometimes fed her even though she could perform this task independently, few opportunities were provided for choice-making, and the clean-up was done for her.

Figure 2.



In contrast, the affluent peer attended a classroom centrally located in an elementary school. Over the course of a week, scheduled time with many other teachers or related service providers (e.g., art, music, library, physical therapy) provided him with ample opportunities to learn how to find other rooms, to reinforce specific skills he was learning in other settings, and to work with other persons, all in preparation for entry into kindergarten or first grade. Every activity had a definite purpose, was tightly linked with student goals, and included alternatives for making choices. Naturally occurring opportunities were continually capitalized upon to practice skills for cognitive and independent growth. For example, at lunch time, he not only ate his lunch with the assistance of the occupational therapist to learn to chew appropriately, but he also counted napkins while setting the table, chose the color of cup and the kind of drink he wanted, poured his own milk, requested more food (with the support of the speech therapist) using a combination of sign language and voice, and cleaned up his own eating area with assistance.

The School Level

Role of the principal. Contrary to the models suggested in the effective schools research (Bossert, Dwyer, Rowan, & Lee, 1982; Rosenholtz, 1985) in which the principal is viewed as the pivotal point for all actions shaping student behavior, the principals in these settings, affluent and poor, were almost totally uninvolved in the ECE programs. This finding supports research that demonstrates the uninvolvement of principals in special education programs, and that the most effective, coordinated efforts to serve students with special learning needs is attained when the principal has major responsibility for coordinating all school services. Not clear, however, was whether the age of students or the disability of students led to this lack of involvement. Principals were much more involved in the supervision, curricula, and coordination of the kindergarten, prekindergarten and first grade programs. The supervision and coordination of ECE was sometimes delegated to other persons in the district.

The principal at Lakeview resisted the placement of the ECE program at her school. She delegated the supervision responsibility to a program support teacher who also served as an assistant principal. The assistant principal admitted, however, that he had relatively few contacts with the day-to-day operation of the classrooms and that a district based special education supervisor was the primary resource person.

The four ECE classrooms for students with more severe learning needs in Dover were located in a wing of the district administration building. Thus, these teachers had no contact with a building principal. A program support teacher, however, assumed a primary role in staff support.

At Green Hills, the one ECE classroom was located in a wing of the elementary school building. The principal also had very little contact with the classroom. The program was financed primarily by a regional educational service agency, which also provided a program support teacher for consultation. The program support teacher, however, was responsible for a number of different classrooms in a geographically large, rural area, making it impossible for her to provide adequate support, both in terms of quantity and quality that was needed by this first year teacher.

Finally, at Deerfield, the one ECE classroom was located in a modular unit outside of the elementary school. The principal and the special education administration staff had very little contact with the program.

Coordination with existing programs. The coordination of ECE with other school services for young children, such as prekindergarten, kindergarten, or Chapter I programs, was minimal in all the districts. Lakeview had the most potential for collaboration with other ECE services because of its central location in an elementary school, and the kindergarten classrooms were in relatively close proximity. Except for special education referrals, the general and special education teachers, however, rarely interacted. Because of the high expectations for achievement in the district, even for very young students, the kindergarten teachers were not anxious to include students with special needs in their classrooms.

The ECE classroom in Green Hills was also located in an elementary school but was situated in a wing of the building. The teacher had frequent, informal interactions with the other teachers in this very small school. Some of her students attended half-day kindergarten and the ECE program the other half day.

The four ECE classrooms for students with more severe learning needs in Dover were located in a wing of the district administration building. Thus, these teachers had no contact with other elementary teachers or students which resulted in no opportunities for coordination or integration of services for students.

At Deerfield, the one ECE classroom was located in a modular unit outside the elementary school. The teacher described how she "invited herself in" to school assemblies and meal times with other students in order to have her students be more involved with the elementary school. Children with special learning needs in Deerfield were not allowed to participate in the pre-kindergarten program. Thus, a four year-old child with a disability who had "tested out" of the special education program and could benefit from the academic and social opportunities in the pre-kindergarten program was denied this opportunity. The result was that this child would then

receive no services until kindergarten age. To prevent a child from not receiving any services, the special education teacher retained the child in the special education classroom for another year. Other than processing referrals, the ECE teacher did not have any interactions with the other early childhood programs.

The District Level

All the school districts (affluent and poor) responded in similar fashion to the state ECE mandate. They operated "programs" for preschool students with disabilities and all possessed structural similarities. That is, the programs included a certified teacher, a teacher aid, specialized materials, related services (e.g., speech therapy), a separate classroom space for conducting the activities, and specific procedures and processes to provide services to children, including screening, evaluation, and individualized education programs.

The superintendent perspective. The superintendents in all but one of the districts felt young children with disabilities should be provided services. One superintendent said the district provided the services simply because the laws were mandated, otherwise they probably would not offer programs. All superintendents did not want to compete with private community day care and programs such as Head Start in providing services.

The superintendent's opinion of ECE services for all children varied in the districts. In one economically disadvantaged site, the superintendent felt the district should limit its early childhood offerings because he felt that children should stay home with their mother. He held this opinion despite the fact that many of the children in his district were from single parent families, or two parent families, which necessitated the mother to support the family, and day care provisions were virtually non-existent. A second superintendent in an economically disadvantaged district, although not disagreeing that there was a need for ECE, felt his district would provide it only if it was mandated. The third superintendent in a less affluent setting already provided ECE for children at risk using Chapter I monies. His perspective was that the district should provide ECE and felt it was necessary, but wanted it to be a separate system from the elementary school. In contrast, the administrator in Lakeview felt there was a great need for ECE and childcare because of all the working, career mothers in his district. He felt the best model for childcare would be one that could be integrated into the elementary system with coordinated efforts with kindergarten and first grade.

Coordination with existing programs. In Lakeview and Green Hills, all district services for ECE, which were exclusively for children with disabilities, were in the same building; thus the extent of service coordination at the

school and district level was similar. At Dover, while the program support teacher coordinated efforts with Chapter I services for other ECE students, the students with severe disabilities were not included in these efforts. Deerfield provided programs related to ECE, such as a parent support group and parent education at the high school level, and a teenage-parent program located adjacent to the ECE classroom. Resources and expertise however, were not shared among the programs.

The Community Level

The coordination of services with parents. Across all settings, poor and affluent, the families of students with disabilities were sincerely interested in their child's education and were willing to support their child's learning as much as they felt they were able. In general, the family of the poor student with disabilities remained uninvolved in the child's school day. The mother of the affluent student, however, actively participated in the school day by attending the classroom biweekly with other parents to teach students and to meet afterwards for sharing. She also participated in a biweekly speech therapy session and worked along with the therapist on various techniques and strategies.

The most significant family characteristic which challenged the inclusion of economically disadvantaged parents in the programs was that the families of these children were "survival" families, as termed by a community worker. That is, although these parents, (two of which were single parents) desired an education for their child, their daily lives were consumed by trying to provide the very basics of survival for their children, including food, clothing, and shelter. Therefore, lack of time and energy prevented them from meeting the expectations of school staff to participate more in their child's program.

The family view of the role of early childhood education also affected parental involvement. In Deerfield, a social service worker reported that families of children with disabilities perceived preschool services as part of their extended family, therefore, they assumed those services should be providing for all the various needs of the child without their active participation. The family as an active intervener goes against their concept of extended family. Some community persons also felt that it was not appropriate to remove the children from the home for services, and that family members should care for the child's needs. Also, the whole notion of early childhood education denoted a future orientation which was in opposition to the family and community value system which emphasized the importance of the present. Finally, a fatalist perspective of education was also present which nurtured the opinion that regardless of the quality

of services, the child would always be "behind" and therefore, unproductive for the community. Therefore, family tradition and culture mitigated against early childhood education, but the combined impact of child needs and family and social problems in the community necessitated these services.

Agency coordination. The degree of collaboration with other community agencies varied in the districts. Lakeview's interagency coordination was limited to conducting evaluations on in-coming children at a local preschool center for children with disabilities. As noted previously, the complexity of child needs was much less, and with the high degree of parent involvement, there was less need to seek the services and support of other agencies. Finally, a full-day ECE program prevented school personnel from needing to make contacts with other agencies for after school support.

The program support teacher in Dover spent a large majority of her time contacting and working with community agencies to provide services to their students. She coordinated a sophisticated system of referral and identification of students with local medical services, Head Start, community day care, and services for infants. She also worked very closely with social services in assisting families to obtain medical and other basic care needs for their children. She collaborated with these same persons by ensuring that if student did not qualify for the ECE program for students with special needs, that the child would receive ECE services through other means, such as Head Start. She also coordinated efforts for students to receive another half day of services (in addition to their half day school, ECE program), at the request of parents, in programs such as Head Start, or community day care provided by the department of social services. Her work with these agencies was facilitated by their close proximity in the city.

Agency coordination was minimal in Green Hills and Deerfield. At Green Hills, the number of agencies which provided services to children were minimal. Two local baby sitters provided most of the community day care. A Head Start program was located approximately forty-five minutes form the ECE program. Although the teachers of both programs were supportive of one another and shared ideas informally and formally through Head Start staff development programs, students did not attend both programs. That is, unlike Dover, a child who received services in one of the programs for one-half day and then was eligible to receive services from the other program did not receive a full day of services.

Services for young children in Deerfield were much more prevalent, and programs were located in close proximity to one another. Head Start provided a program less than one mile from the school ECE program. A day care center targeted for children particularly vulnerable to family stress provided services in a modular unit adjacent to the ECE program. Again, similar to the lack of coordination and collaboration in Green Hills, resources and services to children were not shared.

Summary

The current status of early childhood education in these four varying school districts indicates that all the districts have early childhood programs where students have the benefit of low student/staff ratios and experience a daily routine of activities with peers with disabilities. Suburban affluent children, however, may receive more than twice the amount of education in the day and week as compared to the low income students, and spend nearly every minute of their day involved in activities aimed for intentional learning. The suburban affluent child learns independence and interdependence, in functional, coordinated activities with clear goals aimed for future educational and societal environments.

The role of school principals in early childhood education in all the districts was minimal. Yet, it was unclear whether this lack of involvement was due to the age or to the disabilities of the students. Not all the superintendents were proponents of early childhood education. Only the superintendent in the suburban affluent district encouraged early childhood education and hoped to integrate it into a comprehensive, early education program.

The coordination of early childhood serivces at the school and district levels was minimal in all the districts. The suburban affluent program sought to coordinate learning directly with the children's parents. The other districts did not involve the parents in the child's learning. The urban, low income district coordinated with many agencies. The affluent district, because of its full day program, had less incentive to work with other agencies, while the rural districts had significantly fewer services with which to coordinate.

This data on the current status of early childhood education, the role of school administrators, and the degree of communities, while limited in scope, can suggest some implications for the knowledge base of educational administration.

Implications for the Knowledge Base of Educational Administration

The National Policy Board for Educational Administration recommended seven areas of emphasis in the core curriculum for improving the preparation of school administrators. These curricular areas include societal and cultural influences on schooling, teaching and learning processes, organizational theory, research and evaluation, leadership and management processes and functions, policy studies, and moral and ethical dimensions of schooling. While it is beyond the scope of this study to address, comprehensively, each of the curricular areas, tentative suggestions can be made for broadening the knowledge base of educational administration.

The knowledge base of educational administration must extend to birth (indeed even prenatally), rather than begin at the kindergarten level in teaching and learning processes, research and evaluation, leadership and management, and policy studies. These areas must encompass not only the mythical typical child, but also be attuned to differences along the axis of oppression, such as race, class, gender, disability, and other areas.

The findings of this study also suggest, and the Policy Board supports, that the knowledge base must attend to the context and culture of education. While the same state policy for early childhood education was implemented in all the school districts, and at the district level the program structure appeared relatively similar, the outcomes for the children were quite different depending on the context of its implementation. The knowledge base must also consider not only community culture, but also be cognizant of the culture of individual families, and their unique needs---whether affluent, culturally diverse, economically disadvantaged, or consisting of single parents, or extended families---to ensure that all students and families have universal access to quality education, particularly in the early years.

This study also demonstrates a need to consider evaluation and research at multiple levels, including the child level. Further, the complexity of child, family, and community needs necessitates research that is not decontextualized from the exogenous factors surrounding schooling for young children.

For young children, particularly those with diverse learning needs, leadership and management functions will need to consider more seriously, collaborative approaches to service delivery, at the classroom, school, district, and community levels. The uncoordinated services in this study, resulted in both overlaps and gaps in practices, perpetuating the inefficiency and immorality of separate systems.

As seen in this study, superintendents held varying perspectives on the need to provide early childhood education services. The knowledge base of educational administration will need to provide an avenue for administrators to examine their personal perspective of child care, discern any bias related to equity, and consider perspectives which are cognizant with the realities of early childhood education needs within different family and community structures.

Summary and Limitations

This exploratory study represents only a beginning to understanding the status of early childhood education in schooling and ascertaining the roles of school administrators in coordinating that process. The study is limited by its conceptual framework and design which needs to pair an understanding of contexts with specific administrative behaviors. The study is also

limited in its sample. Research needs to examine the experience of early childhood education for children with mild disabilities and for children "at risk" for school failure. An equal number of affluent and economically disadvantaged communities would have rendered the results more valid and reliable, specifically from the perspective of the affluent community. A fuller understanding of the impact of national policies and initiatives in early education could be attained by a longitudinal design that captures the evolution of services.

The findings report a first glimpse at "what is" however, in early childhood education—information which has been ignored thus far in educational administration. Research has determined that children's perception of the worth of other persons is acquired by the age of three. This information has broad implications for schooling. We need not only to determine "what is" in early childhood education and the role of school administration in that process, but we then need to understand the "why" of our findings, possibly through the lens of critical theories. Questions to be considered could include the nature of power relations in the classroom, the opportunities for choice and decision-making—for both children and teachers, and the role of information sharing with parents. The early socialization and instruction of children in early childhood programs could significantly influence the status quo. Early childhood education for all children, including those with diverse learning needs, can inform, and be informed by, the knowledge base of educational administration.

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ISSN: 1-55996-147-3
ISSN: 1041-3502